Docket No.: 4239ัปีP137

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

the Application of:

ANDREW F. GLEW, ET AL.

Application No.: 10/041,071

Filed: December 28, 2001

For: Authenticated Code Method and

**Apparatus** 

Art Group: 2186

Examiner: Tuan V. Thai

RECEIVED

SEP 2 2 2004

**Technology Center 2100** 

## INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

In accordance with the duty of disclosure, enclosed is a copy of IDS Citation Form PTO/SB/08 or PTO-1449, together with copies of the documents cited on that form, except for copies not required to be submitted (e.g., copies of U.S. patents and U.S. published patent applications need not be enclosed for applications filed after June 30, 2003). This IDS and IDS Citation Form are being submitted before the mailing of a first Office Action. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

It is hereby stated that no item of information contained in the Information Disclosure Statement was cited in a patent office in a counterpart application, and, to the knowledge of the undersigned, after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to any individual associated with the filing or prosecution of the subject application more than three months prior to the filing of the Information Disclosure Statement.

The references were cited in a Search Report dated July 15, 2004 (copy enclosed herewith) in a counterpart PCT application.

The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

Please charge any fees due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal (PTO/SB/17) is enclosed for this purpose.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Gregory D/Caldwell, Reg. No. 39,926

12400 Wilshire Boulevard, 7th Floor Los Angeles, CA 90025

Telephone: (503) 439-8778

Date: September 14, 2004

I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

( Jan 9-14-04

Gayle M. Bekish Date

TRANS	MITTAL F	ORM	Application No.	10/041,071	
(to be used for all o			Filing Date	December 28, 2001	
(to be used for all t	orrespondence an	ter initial ming)	First Named Inventor Art Unit	Andrew F. Glew  2186  RECEIVE	
			Examiner Name	Tuen V. Thei	
Total Number of P	ages in This Submis	sion	Attorney Docket Number	SEP 2-2-200 42390P13769	
·	ENCL C	SURES (chec	ck all that apply)	Technology Center 2	
<del></del>	ENCLO	JOKES (CHEC	ж ан шасарру)	After Allowance Communication	
Fee Transmittal 8	orm	Drawing(s	)	to Group	
Fee Attach	ned	Licensing-	related Papers	Appeal Communication to Board of Appeals and Interferences	
Amendment / Re	sponse	Petition		Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)	
After Final		Petition to	Convert a Application	Proprietary Information	
Affidavits/o	declaration(s)			Status Letter	
Extension of Tim	e Request	Change of	Attorney, Revocation Correspondence Address	Other Enclosure(s) (please identify below):	
Express Abandon	nment Request	Terminal D	Disclaimer		
Information Discl	osure Statement	Request fo	r Refund	Copies of 8 Cited refs.	
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Response to Mis	sing Parts/		<u> </u>		
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Declar	ation/POA				
Response Parts unde 1.52 or 1.5	to Missing er 37 CFR i3				
		LE OF APPLICA	NT, ATTORNEY, OR A	GENT	
		ldwell, Reg. N	o. 39,926		
or Individual name	BLAKELY	SOKOLOFF,	TAYLOR & ZAFM	IAN LLP	
Signature					
Date	September 14	, 2004			
	CEDIL	ICATE OF MAI	LING/TRANSMISSION		

**September 14, 2004** 

Date

SP 17 2004 33

FEE TRANSMITTAL for FY 2004

Effective 01/01/2004. Patent fees are subject to annual revision.

Applicant claims small entity status. See 37 CFR 1.27.

TOTAL AMOUNT OF PAYMENT (\$) 0.00

Complete if Known					
Application Number	10/041,071				
Filing Date	December 28, 2001				
First Named Inventor	Andrew F. Glew				
Examiner Name	Tuan V. Thai				
Art Unit	2186				
Attorney Docket No.	42390P13769				

METHOD OF PAYMENT (check all that apply)				FEE CALCULATION (continued)						
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Account Blake	y, Sokoloff, Taylor	r & Zafman LLP	2053	130	2053	130	Non-English specifica			
The Commissioner is au	thorized to: ( check all that	apply)	1812	2,520	1812		For filing a request fo		nation	
Charge fee(s) indicat	ed below Cre	edit any overpayments	1804	920 *	1804	920 •	Requesting publication	on of SIR prior to		
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1. BASIC FIL			1253	950	2253	475	Extension for reply wi			
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1002 340 2002	170 Design filing fee	e = ==================================	1402	330	2402	165	Filing a brief in suppo	• • •		
1003 530 2003	265 Plant filing fee		1403	290	2403	145	Request for oral head	•	at	
1004 770 2004	385 Reissue filing fe	ee	1451	1,510	2451	1,510	Petition to institute a		aing	
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<del></del> .			1501	1,330	2501	665	Utility issue fee (or re	issue)		
2. EXTRA CL	AIM FEES <sub>Extra</sub>	Fee from	1502	480	2502	240	Design issue fee			
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1201 86 2201	43 Independent clair	ms in excess of 3	1810	770	2810	385	For each additional in examined (37 CFR §			
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	SUBTOTAL (2)	(\$)	* Red med	by Basic Filin	n Fee Poi	ส		SUBTOTAL (3)	(8)	
**or number previously paid, if greater, For Reissues, see below				-y (# 1	g. w. a			303101AL (3)	(\$)	0.00
SUBMITTED B	Y	1						Comp	lete (if applica	ble)
Name (Print/Type)	Gregory D. Cald	well		egistration torney/Age		3	39,926	Telephone	(503) 439	
Signature		11/1/11						Date	09/14	/04

## TRANSMITTAL for FY 2004

Effective 01/01/2004. Patent fees are subject to annual revision.

Applicant claims small entity status. See 37 CFR 1.27.

**TOTAL AMOUNT OF PAYMENT** (\$)

Complete if Known						
Application Number	10/041,071					
Filing Date	December 28, 2001					
First Named Inventor	Andrew F. Glew					
Examiner Name	Tuan V. Thai					
Art Unit	2186					
Attorney Docket No.	42390P13769					

METHOD OF PAYMENT (check all that apply)					FEE CALCULATION (E.C.E.) VED				
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Number		02-2666		1051	130	2051	65	Surcharge - late filing fee or oath	
Deposit				1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet.	
Account Bl				2053	130	2053	130	Non-English specification	
	r is authoriz	ed to: ( check all that ap	nolv)	1812	2,520			For filing a request for ex parte reexamination	
Charge fee(s) i		•	t any overpayments	1804	920 *	1804	920 *	Requesting publication of SIR prior to	
		) or underpayment of fee						Examiner action	
CFR §§ 1.16, 1	1.17, 1.18 and	1.20.	•	1805	1,840 *	1805	1,840	Requesting publication of SIR after Examiner action	
Charge fee(s) i to the above-id		ow, except for the filing sit account	j fee	1251	110	2251	55	Extension for reply within first month	<del></del>
	FEE	CALCULATION		1252	420	2252	210	Extension for reply within second month	
1. BASIC	FILING	FEE		1253	950	2253	475	Extension for reply within third month	
Large Entity	Small Entity	· /		1254	1,480	2254	740	Extension for reply within fourth month	
Fee Fee Code (\$)	Fee Fe Code (S	ee Fee Description	Fee Paid	1255	2,010	2255	1,005	Extension for reply within fifth month	
	·			1404	330	2401	165	Notice of Appeal	
1001 770		85 Utility filing fee		1402	330	2402	165	Filing a brief in support of an appeal	
1002 340		70 Design filing fee		1403	290	2403	145	Request for oral hearing	
1003 530 1004 770		65 Plant filing fee 85 Reissue filing fee		1451	1,510	2451	1,510	Petition to institute a public use proceeding	
1005 160		80 Provisional filing f	ee	1452	110	2452	55	Petition to revive - unavoidable	
1005	2000			1453	1,330	2453	665	Petition to revive - unintentional	
	S	UBTOTAL (1)	(\$)	1501	1,330	2501	665	Utility issue fee (or reissue)	
2. EXTRA	CLAIM	FEES <sub>Extra</sub>	Fee from	1502	480	2502	240	Design issue fee	
		Claims	below Fee Paid	1503	640	2503	320	Plant issue fee	
Total Claims	2	20° = X	=	1460	130	2460	130	Petitions to the Commissioner	
Independent Claims		3 = X	=	1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
Multiple Dependent			=	1806	180	1806	180	Submission of Information Disclosure Stmt	
Large Entity	Small Entity			8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
Fee Fee Code (\$)	Fee Fee Code (\$)			1809	770	1809	385	Filing a submission after final rejection	
1202 18	2202	Claims in excess of	20	1				(37 CFR § 1.129(a))	
1201 86	2201 43	3 Independent claims	in excess of 3	1810	770	2810	385	For each additional invention to be examined (37 CFR § 1.129(b))	
1203 290	2203 14		•	1801	770	2801	385	Request for Continued Examination (RCE)	
1204 86	2204 43	3 **Reissue independ patent	ent claims over original	1802	900	1802		Request for expedited examination	
1205 18	2205	9 **Reissue claims in	excess of 20 and over		ee (specify)		No.E	of a design application	0.00
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	s	UBTOTAL (2)	(\$)	٦١					
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0.00

SUBMITTED B	Υ		Comp	lete (if applicable)	
Name (Print/Type)	Gregory D. Caldwell	Registration No. (Attended Agent)	39,926	Telephone	(503) 439-8778
Signature		DIGHT		Date	09/14/04

Based on PTO/SB/17 (10-03) as modified by Blavely, Spinofff Jaylor & Jaman (wr) 02/10/2004 SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

SP 17 2004

Bubstitute for form 1449A/PTO

## MINFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet 1 of 1

(	Complete if Known	
Application Number	10/041,071	
Filing Date	December 28, 2001	
First Named Inventor	Andrew F. Glew	
Art Unit	2186	
Examiner Name	Tuan V. Thai	
Attorney Docket Number	42390P13769	

			U.S. PATE	ENT DOCUMENTS	
Examiner Initials*	Cite No.'	Document Number  Number - Kind Code <sup>2</sup> (if known)	Publication Date or Issue Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	1	US-5,844,986	12-01-1998	Davis	
	2	US-6,175,924 B1	01-16-2001	Arnold	
	3	US-5,956,408	09-21-1999	Arnold	
	4	US-6,044,478	03-28-2000	Green	RECEIVED
	5	US-3,996,449	12-07-1976	Attansio et al.	255 2 2 200#
		US-			SEP-2-2-2004
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		US-		lecit	nology Center-2100
		US-			

	FOREIGN PATENT DOCUMENTS								
Examiner Cite Foreign Patent Document  Initials* No.1 Country Code - Number - Kind Code (if known)	Cite	Foreign Patent Document			Pages, Columns, Lines,				
	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Where Relevant Passages or Relevant Figures Appear						
	6	EP 0961193 A2	12-01-1999	Texas Instruments					
	7	WO 00/21238	04-13-2000	Intel Corp.					
	.8	WO 99/65579	12-23-1999	Aristocrat Leisure Ind Pty.					
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Signature	Considered	

'Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible phicant is to place a check mark here if English language Translation is attached.

Based on PTO/SB/08A (08-03) as modified by Blakely, Solokoff, Taylor & Zafman (wlr) 08/11/2003.

<sup>\*</sup>Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.